

DAU RESEARCH PROPOSAL

Suggested Template

Instructions: Each DAU region has its own procedures for proposing and approving research projects. This is a suggested template for that process. Researchers should request an eMTS code using the PRM form found on the DAU Research website. Approvals for research projects are made at the regions, and may be at the Dean, Associate Dean or Department Chair levels.

When the research involves human subjects (e.g., in surveys or interviews), the researchers must follow the Appendix of DAU Directive 501 and complete the Request for Exemption Determination at the end of this proposal template.

The lead researchers should forward a copy of the final, approved research proposal to the DAU Director of Research, for information purposes only.

PROJECT TITLE: _____

REGION(S): _____

eMTS CODE: _____

DAU RESEARCHER(S):

Lead _____ **Name** _____ **Region** _____ **Department** _____

Name _____ **Region** _____ **Department** _____

Name _____ **Region** _____ **Department** _____

REGIONAL APPROVAL(S):

Title _____ **Name** _____ **Region** _____ **Department** _____

Signature _____

Title _____ **Name** _____ **Region** _____ **Department** _____

Signature _____

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DAU Role in the Research:

_____ Sole Site (DAU is the only organization involved in this study)

_____ Lead Site (Lead Researcher is DAU employee, other organizations evaluating)

What other institution is participating? _____

What is the name of the participating researcher? _____

_____ Participating Site (Lead Researcher is not a DAU employee, other organizations also evaluating)

What is the lead institution? _____

What is the name of the lead researcher? _____

_____ Data Collection Site (DAU researcher role limited to data analysis, other organizations also evaluating)

What is the lead institution? _____

What is the name of the lead researcher? _____

COSTS (Provide the estimated cost for travel, materials, etc., required for the research)

Travel \$ _____

Materials \$ _____

Other \$ _____

Total \$ _____

SCHEDULE (Provide a timetable for conducting research):

| Activity | Dates |
|----------------------------|-------|
| Submit proposal to Dean | |
| Complete literature review | |
| Complete data collection | |
| Complete data analysis | |
| Present findings | |
| Complete final report | |

PERSONNEL (Provide estimated hours required for DAU faculty and/or staff):

| Year of Research Activity | Fiscal Year | Hours |
|----------------------------------|--------------------|--------------|
| Year 1 | | |
| Year 2 | | |
| Year 3 | | |

DELIVERABLES: (List Report, Presentation, Journal article):

LITERATURE REFERENCES (Using APA format, list at least two references that are related to your research topic):

DEFENSE ACQUISITION UNIVERSITY
PROPOSAL FOR RESEARCH INVOLVING HUMAN SUBJECTS:
REQUEST FOR EXEMPTION DETERMINATION

The DAU exemption review is intended to ensure research conducted or supported by the university complies with federal and DoD regulations regarding protection of human subjects. This application is used to facilitate and document this exemption review. Research projects involving human subjects must be reviewed by the Exemption Determination Office, with completed findings forwarded to the Director of Research before any data collection begins.

1 Classification of the Study:

(a) Does this study involve interaction with human subjects or collecting private information about human subjects?

___ Yes ___ No

(b) Is archival data involved in this study? ___ Yes ___ No

(c) If archival data is used, is the data from a publically available database?

___ Yes ___ No

2. Purpose and Anticipated Study Outcomes: *Briefly describe the nature and goal(s) of the study. Identify the general anticipated outcome(s) of the study.*

3. **Project Description:** *Briefly explain the research design as it relates to what is expected of subjects as participants in the study. Identify any stressors or risks that may be associated with the study as they may affect the subjects, and how these will be mitigated or lessened. Identify the subjects of the study, the data collection method and site, any permissions obtained for subject recruitment, survey/site/name/subject use, and the involvement (if any) of third parties in the study.*

4. **Subject Groups:**

If any category is checked “yes”, please explain in the comments area below.

a. Will the subjects be deceived or misled in any way?

Yes (☐) No (☐)

b. Will subjects be DAU students?

Yes (☐) No (☐)

c. Will subjects be DAU faculty or staff?

Yes (☐) No (☐)

d. Will information be requested that is personal or sensitive?

Yes (☐) No (☐)

Comments:

5. **Subject Recruitment and Selection:** *Briefly explain how subjects will be recruited (the process), the source(s) used to recruit subjects, and the selection criteria.*

6. **Informed Consent:** *Briefly explain how subjects will be informed of the study purpose, procedures, potential risks, stressors or discomforts to them, and the time commitment required for their participation as subjects. Explain the subject withdrawal process before, during and after data collection. Explain how researcher contact information will be provided to the subjects.*

7. **Confidentiality and Privacy:** *Briefly explain how individual identity will be protected and the coding system that will be used to protect individual identity. Explain how data confidentiality will be ensured throughout the study. Identify the physical location at which the data will be secured, the length of time it will be kept following study completion, and the means by which it will be disposed of after this time period.*

8. Research Study Time Line:

Projected Start Date:

Projected Completion Date:

Please note that an exemption determination is applicable for one year. Research extending beyond one year requires resubmission and review of an updated Application.

9. Attachments to Support the Application: *Please check all that apply and attach to this application.*

| | | | |
|-----------------------------|--------------------------|--|--------------------------|
| Informed Consent form | <input type="checkbox"/> | Premises Permission form | <input type="checkbox"/> |
| | | Letter of Collaboration | <input type="checkbox"/> |
| Survey Permission form | <input type="checkbox"/> | | |
| Data Collection Tool(s) | <input type="checkbox"/> | IRB Certification | <input type="checkbox"/> |
| Introductory Letters or | | | |
| Other Communications | <input type="checkbox"/> | Confidentiality Agreement | <input type="checkbox"/> |
| Non-Disclosure Agreement | <input type="checkbox"/> | Other Documentation (Please indicate) | <input type="checkbox"/> |
| CITI Training Certification | <input type="checkbox"/> | | |

In making this application, I certify that I have read and understand the Human Research Protection Plan (Appendix to DAU Directive 501) and that I will comply with University policies governing the same.

| NAME: | SIGNATURE: | DATE: |
|------------------|--------------|-------|
| | /s/ | |
| E-MAIL ADDRESS: | TELEPHONE #: | |
| | | |
| MAILING ADDRESS: | | |

PLEASE NOTE: *Significant changes in research design must be submitted for review prior to such changes being implemented. Informed consent/assent records of the subjects must be kept by the researcher for three (3) years after completion of the research.*

DAU SPONSOR, SUPERVISOR, DEAN, or DIRECTOR:

I agree to provide the proper oversight of this project to ensure that the rights and welfare of all human subjects involved are properly protected.

| NAME: | SIGNATURE: | DATE: | E-MAIL ADDRESS: |
|-------------|--------------------|--------------|-----------------|
| | /s/ | | |
| LOCATION: | DAU BUSINESS UNIT: | TELEPHONE #: | |
| City, State | | | |

DAU Exemption Determination Officer (EDO)

Director of Research

Findings :

Research project is:

Exempt (☐)

Endorsed (☐)

Not Exempt (☐)

Not Endorsed (☐)

Endorsed with changes. See required changes below*

NOTE: This application is effective for one year from the start of the study.

| REVIEWER'S NAME: | REVIEWER'S SIGNATURE: | DATE: |
|-------------------------|------------------------------|--------------|
| | /s/ | / / |
| | /s/ | / / |

ADDITIONAL COMMENTS/INFORMATION: